⬥EPA NEWS

Message from: Steve Fine, Acting Chief Information Officer

Dear Colleagues,

I am pleased to announce that in the first half of calendar year 2018, EPA will implement a new email records management approach called "Capstone," which should make email records management easier for you.

The current approach to managing email records is based on the content of the email and relies on you to use the EPA EZ Email Records tool to save selected emails as records. By contrast, Capstone uses a role-based approach that retains employees' emails for a specific period of time based on employees' positions. Capstone will greatly diminish your burden of managing email records, while facilitating records management throughout EPA.

The National Archives and Records Administration (NARA) has approved EPA's Capstone application, and the agency is implementing Capstone consistent with its recommendations. The following information in this message provides specific details that will help you and the agency through this transition.

Until Capstone begins in early calendar 2018, you should continue handling emails per current records management policies and procedures. Please read the information below to familiarize yourself with Capstone implementation and the **actions you need to take now** to prepare.

- General Capstone overview
- What does Capstone mean for me?
- How should I prepare for Capstone?
- How long do I have to prepare for Capstone?
- Will Capstone apply to my old Lotus Notes mail?
- Additional Information, FAQs, and Lotus Notes email migration info,
- Point of Contacts

General Capstone overview

Under the Capstone approach, roles are broken down into two categories: Capstone Officials and non-Capstone employees. The list of EPA's Capstone Officials comprises 108 designated senior official positions. EPA will update this list annually. As explained below, after 90 days from the date an email is created or received, Capstone Officials' emails become permanent records and are transferred to NARA when they become 15 years old.

Further, as explained below, after 90 days from the date an email is created or received, emails of non-Capstone employees will be kept for 10 years and then deleted (unless subject to a litigation hold or other preservation obligation). If, according to EPA's records schedules, an email record of a non-Capstone employee needs to be retained longer than 10 years, that message is considered to be an exception, and the employee must save that email in the Enterprise Content Management System (ECMS) using the EZ Email Records Tool. Since you will only need to use the EZ Email Records tool for those records that must be retained more than 10 years, the time you need to spend managing email records will be significantly reduced.

The Office of Land and Emergency Management (OLEM) will provide directions for managing Superfund-related emails to ensure that the applicable retention timeframes are maintained. Employees who have Superfund-related emails do not need to do anything with respect to those emails until the OLEM guidance has been issued. OLEM anticipates issuing that guidance during the coming week.

What does Capstone mean for me?

All Employees
You will have **90 days** from the time the email was created or received to delete any junk mail or personal email. Transitory records should also be deleted within 90 days, if no longer needed. (This process is known as "culling.")
After the 90-day culling period, your emails will be kept for either ten years or permanently, depending on your role.
After **2 years**, emails will be automatically moved to an archive folder in your Outlook mailbox. You will still have access to the emails in your archive folder. This move is designed to improve the performance of your Outlook mailbox.

Capstone Officials	Non-Capstone Employees
After the 90-day culling period, your emails will be kept permanently.	**After the 90-day culling period**, your emails will be kept for ten years.
While you are in a Capstone position, you do not need to manually add email records to ECMS.	If, per EPA's records schedules, an email record needs to be retained longer than **10 years,** you must save it in

	ECMS where it will be retained according to the approved records schedule. It is recommended that this be done as soon as possible after the email is received or created but it must be done within 2 years.
After **15 years**, your email from the period you were a Capstone Official will be transferred to NARA. Then all of your email older than 15 years will be deleted from the email system (unless subject to a litigation hold or other preservation obligation).	After **10 years**, your email will be deleted from the email system (unless subject to a litigation hold or other preservation obligation).

How should I prepare for Capstone?

We need your assistance to prepare for Capstone implementation. Below are some actions you need to take regarding existing email in Lotus Notes and Outlook.

On Oct. 5, you received an email from 'MassMailer' with the subject "Employee Action Item: Lotus Notes Email" that describes steps you need to take to manage your Lotus Notes email before general access to Lotus Notes ceases on Dec. 31, 2017. You must follow those instructions to prepare your Lotus Notes email for Capstone. In addition, you must follow the instructions below to prepare your Outlook email for Capstone.

As stated above, OLEM will provide directions for managing Superfund-related emails. Employees who have Superfund-related emails do not need to do anything with respect to those emails until the guidance is issued. OLEM anticipates issuing that guidance during the coming week.

- **For non-Capstone employees, email records with a retention longer than 10 years:** Non-Capstone employees must save emails that are subject to a retention schedule that exceeds 10 years in ECMS (does not apply to Superfund-related emails). The links below provide additional information:

    o Information on what constitutes a record.

    o A retention matrix listing the records schedules that exceed 10 years.

    o How to save Outlook email records in ECMS.

    o FAQs on email and records.

- **Emails subject to litigation hold**: You must continue to retain emails that are subject to a litigation hold or other preservation obligation in your email box. You should not delete any emails subject to litigation holds or other obligations, regardless of their record status.

    You can check the EPA's litigation hold portal for links to your litigation holds. You should have also received an email notice from the issuing attorney notifying you of the existence and scope of any litigation holds. EPA will continue to retain emails from individuals identified as subject to litigation holds after the Capstone retention date.

    Litigation holds are legal obligations. If you have any questions about your litigation hold obligations, contact the EPA case attorney who issued the litigation hold. If you have technical questions or are unable to access the litigation hold portal link (above), please contact eDiscovery@epa.gov for technical support.

- **Emails subject to an official information request (such as a pending or recently closed FOIA request or appeal):** If you have emails concerning or responsive to a pending FOIA request, a recently closed FOIA request (within 90 days), or a FOIA appeal, you must continue to retain those emails. If you have questions related to FOIA records, please contact the EPA employee or program office that is coordinating the FOIA response.

- **Emails not subject to any preservation obligation:** You should delete emails that are not subject to any preservation obligations such as mass mailers, news articles, PAVE announcements, or other emails that are not records.

- **Personal emails:** You should delete personal messages that are not relevant to EPA's work.

How long do I have to prepare for Capstone?

We recommend that you begin reviewing and culling your email now, as appropriate. Please focus on Lotus Notes first. Management of your email in Lotus Notes should be completed by Dec. 31. We anticipate that Capstone will start no earlier than March 31, 2018, so you have at least until that time to prepare your Outlook email.

Will Capstone apply to my old Lotus Notes mail?

As stated in the Oct. 5 Lotus Notes mass mailer, the agency plans to migrate Lotus Notes email dated Jan. 1, 2007 or later into your Outlook archives. Once the email is migrated and Capstone is implemented, the guidelines described above under Capstone will apply, and emails older than 10 years will be deleted from your Outlook archives, even if they moved over as part of the migration from Lotus Notes. Email dated prior to Jan. 1, 2007, was under the print/file approach for records management and will not be migrated (with some exceptions such as email subject to litigation hold). We are working with NARA to secure approval of a records schedule to dispose of electronic email in Lotus Notes created or received prior to Jan. 1, 2007.

The following will NOT be deleted as part of eliminating Lotus Notes email:
- Email subject to litigation hold or other preservation obligations. We plan to move these emails to Outlook, where they will be retained so long as they remain subject to litigation holds.
- Email previously saved in ECMS, which will be retained in ECMS.
- Email that is saved outside of the Lotus Notes system (e.g., PDF files).

Additional Information:
- Frequently-Asked-Questions
- Questions about Lotus Notes Email Migration

Contacts:

- Robert Johnston, Director, Enterprise Records Management Division, 202-566-1637
- John Ellis, EPA Records Officer, 202-566-1643
- Records Help Desk, 202-566-1494
- Jennifer Sutton, OLEM (for questions regarding Superfund-related records), 703-603-8718

I'd like to reiterate that we currently anticipate implementing Capstone in the first half of calendar year 2018. We will send additional communications regarding Capstone in advance of its implementation.

Thank you,
Steve